

UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF ILLINOIS  
EASTERN DIVISION

UNITED STATES OF AMERICA

v.

DAVID SARGENT

No. 22 CR 15

Judge Manish S. Shah

**DOCKETING STATEMENT**

The UNITED STATES OF AMERICA, pursuant to Circuit Rule 3(c), hereby submits the following Docketing Statement contemporaneous with the filing of its Notice of Appeal in the above-captioned case.

Defendant David Sargent was charged by indictment with one count of conspiracy to commit securities fraud, in violation of 18 U.S.C. § 371 (Count One); three counts of securities fraud, in violation of 15 U.S.C. §§ 78j(b) and 78ff(a) (Counts Two through Four); and three counts of securities fraud, in violation of 18 U.S.C. § 1348(1) (Counts Five through Seven). R. 1.<sup>1</sup> A jury convicted Sargent of Counts Two through Seven and acquitted Sargent of Count One. R. 78. On December 20, 2023, this Court granted Sargent's post-trial motions for acquittal and for a new trial and entered a judgment of acquittal. R. 111; R. 112.

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<sup>1</sup> Citations to the Original Electronic Record on Appeal are designated as "R." followed by the document number.

The United States has timely filed its Notice of Appeal on January 17, 2024, within 30 days after entry of the order granting Sargent's post-trial motions for acquittal and for a new trial and entering a judgment of acquittal. The order and judgment being appealed were entered on this Court's docket on December 20, 2023. R. 111; R. 112.

The district court had jurisdiction pursuant to 18 U.S.C. § 3231. Jurisdiction in the Court of Appeals is provided by 18 U.S.C. § 3731 and 28 U.S.C. § 1291.

Respectfully submitted,

MORRIS PASQUAL  
Acting United States Attorney

*/s/ Vikas Didwania*  
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Date: January 17, 2024

**CERTIFICATE OF SERVICE**

The undersigned Assistant United States Attorneys hereby certify that in accordance with Fed. R. Crim. P. 49, Fed. R. Civ. P. 5, LR 5.5, and the General Order on Electronic Case Filing (“ECF”), the government’s Docketing Statement was served, pursuant to the district court’s ECF system, to opposing counsel of record.

By: /s/ Vikas Didwania  
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Date: January 17, 2024